



State of Washington

DEPARTMENT OF FINANCIAL INSTITUTIONS
DIVISION OF SECURITIES

P.O. Box 41200 • Olympia, Washington 98504-1200

Telephone (360) 902-8760 • TDD (360) 664-8126 • FAX (360) 902-0524 • <http://www.dfi.wa.gov>

Consumer Complaint

We have found complaints can normally be resolved if the consumer contacts the company directly. If you have not already done so, please contact the company and attempt to resolve the problem. If direct contact is unsuccessful or you are not satisfied with the results, please fill out this form and send it, along with copies of the company's response and any other appropriate documentation, to the Division of Securities. Your complaint will be promptly acknowledged, and you will be notified of the final disposition.

Your Information:

Name: _____

Mailing Address: _____

City: _____ State: _____ Zip: _____

Telephone: (____) _____ - _____ Fax Number: (____) _____ - _____

Email Address: _____

Your Complaint is Against the Following Business:

Business Name: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: (____) _____ - _____ Fax Number: (____) _____ - _____

Who You Contacted: _____

Additional Information:

Names, addresses, phone numbers of any other businesses, or persons involved in your complaint.

How and when did you first hear about this investment?

How much money did you invest?

What dates?

What kind of investment(s) did you buy?

How did you pay for your investment(s)?
(e.g. personal or cashier's check, cash, wire transfer, etc.)

What method did you use to deliver the payment?
(e.g. in person, mail, fed ex, etc.)

How and when did the person first contact you?

Please list any courier or postal service used by the person to contact you and when that contact occurred.

Have you complained to the person or firm? If yes, please describe. Was your complaint in writing, or did you speak to someone? If in writing, please send a copy of the complaint. If you spoke with a person, who was it and when did it happen?

Have you contacted any other regulator or taken any legal action? If yes, please describe.

Explain Your Complaint in Detail:

Please provide a detailed explanation of the facts that led to your complaint. Start at the beginning and continue through to the present. Be sure to include AT LEAST the following information: How, when, and from whom did you first hear about this investment? What verbal and/or written information did you receive about the investment? Did you later find that any of this information was untrue?

Other Investors:

Do you know anyone else who purchased the investment that is the subject of this complaint? If so, please list their names, addresses, and phone numbers.

Jurisdiction of the Securities Division:

The jurisdiction of the Securities Division generally extends only to issues connected with the initial offer and sale of securities, franchises, business opportunities, and commodities. We may not have jurisdiction if your complaint involves later actions by management that you think are unfair to investors, or in actions by management such as the failure to hold shareholder meetings or provide annual reports. However, you may have civil remedies available to address your complaint, so please consult your attorney. Also, the Division does not have the authority to represent you in civil litigation, which means you must hire your own attorney to recover your investment funds.

Public Records Disclosure Act:

Under the public records provisions of Washington law, RCW 42.17 et.seq., this complaint may become subject to public disclosure at some time after your file is closed.

☐ By checking this box, you may request that this complaint not be disclosed if it is requested pursuant to the Public Records Disclosure Act.

Declaration:

By signing my name below, I declare, under penalty of perjury under the laws of the State of Washington that the information contained in this complaint is true and accurate and the information may be used to further investigate the complaint.

Date

Signature